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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/699,054	10/27/2000	Charles P. Bobbitt	5053-30901/EBM	6717

7590 07/13/2004

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EXAMINER

FILIPCZYK, MARCIN R

ART UNIT	PAPER NUMBER
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2171

DATE MAILED: 07/13/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/699,054

Applicant(s)

BOBBITT ET AL.

Examiner

Marc R Filipczyk

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 2 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 04 June 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☒ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-251 is/are pending in the application.
- 4a) Of the above claim(s) 1-212 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) \_\_\_\_\_ is/are rejected.
- 7) ☒ Claim(s) 213-251 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 27 October 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

### **DETAILED ACTION**

This Action is responsive to Applicant's RCE request and amendment filed on June 4, 2004. The IDS filed on 6/4/2004 and 6/21/2004 have been noted.

#### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on June 4, 2004 has been entered.

Claims 1-170 were cancelled on June 27, 2003. Claims 171-212 are currently cancelled and newly submitted claims 213-251 are presented for examination. Thus, claims 1-212 are cancelled and claims 213-251 are submitted for an examination.

#### ***Priority***

Claims Priority from Provisional Application 60162411 filed on October 29, 1999.

#### ***Specification***

The lengthy specification has not been checked to the extent necessary to determine the presence of all possible minor errors. Applicant's cooperation is requested in correcting any errors of which applicant may become aware in the specification.

#### ***Claim Objections***

Claims 213-251 are objected to because of the following informalities:

Regarding claim 213, in the preamble, line 2, the phrase "the FSO comprises" is objected to because the claim only identifies a "FSO computer system", but not an FSO. Examiner proposes replacing "the" with "a". **Second**, *step-e*, "the database" is objected to because the claim does not state that the database is of a plurality of transactions introduced in *step-a*. Examiner suggests adding "of a plurality of transactions from a)" to the term "database". **Third**, *step-f* is objected to because the phrase "report card" is misspelled and should be replaced with "report record". **Fourth**, the term "place" in the step of repeating a) through f) is objected to because the claimed term should read "placed". Examiner suggests replacing "place" with "placed". **Fifth**, *step-g*, the phrase "reading a current report" is objected to because before a report is read it is identified. Examiner proposes replacing the phrase, "reading a current report" with "identifying a current report and reading the current report". **Last**, *step-j*, the phrase, "the next" is objected to because next report is not defined in the claim. Examiner proposes replacing "the next" with "a next".

Regarding claims 227 and 241, *step-e*, the phrase, "the database" is objected to because the claim does not state that the database is of a plurality of transactions introduced in *step-a*. Examiner suggests adding "of a plurality of transactions from a)" to the term "database". **Second**, *step-f* is objected to because the phrase "report card" is misspelled and should be replaced with "report record". **Third**, the term "place" in the step of repeating a) through f) is objected to because the claimed term should read "placed". Examiner suggests replacing "place" with "placed". **Fourth**, *step-g*, the phrase "reading a current report" is objected to because before a report is read it is identified. Examiner proposes replacing the phrase, "reading a

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current report” with “identifying a current report and reading the current report”. **Last, step-j,** the phrase, “the next” is objected to because next report is not defined in the claim. Examiner proposes replacing “the next” with “a next”.

Regarding claims 214-226, 228-240 and 242-251 depend from claims 213, 227 and 241 respectively thus are objected to on the same merits.

Appropriate correction is required.

### ***Allowable Subject Matter***

Claims 213, 227 and 241 are allowable because the prior art of record or that encountered in searching for the invention, fails to disclose or suggest a financial service organization computer system with a model comprising a tree structure and generating a record file, the record file comprising report records, wherein each report record comprises accessed transactions and describes the location of processing parameter values for the accessed transactions, sorting the report records, as claimed in addition to the other claim provisions.

Claims 214-226, 228-240 and 242-251 depend from claims 213, 227 and 241 respectively and are therefore allowable on the same merits.

Examiner notes that all the objected claims 213-251 must be overcome before the allowable claims are allowed.

### ***Conclusion***

This application is in condition for allowance except for the formal matters stated above:

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Prosecution on the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

A shortened statutory period for reply to this action is set to expire **TWO MONTHS** from the mailing date of this letter.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Marc R Filipczyk whose telephone number is 703-305-7156. The examiner can normally be reached on Mon-Fri, 8am-4:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Safet Metjahic can be reached on 703-308-1436. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

MF  
July 8, 2004

  
SAFET METJAHIC  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100